LOUISIANA OFFICE OF FINANCIAL INSTITUTIONS SECURITIES DIVISION COMPLAINT FORM

			COMPLAINT IS AGAINST:	
City:		State:	Zip Code:	
Phone Number		Email: _		
	E AND ADDRESS	S:		
Address:				
Citv:		State:	Zip Code:	
Phone Number		Email:		
Compla	aint against a Compaint against an Indi	ividual		
Date of Transa Place of Transa		States in which you	and the salesman were located)	
Witnesses to the	ne Transaction:			
		` •	e, limited partnership, etc. If you are	
•	corporation?	n a note, who was	what was the name of the issuing the maker (Company or Individual)	
•	If you invested in a partnership, what was the name of that partnership?			
•	Other:			
Amount involv	ved in transaction:			
		e evidence of investr tc.)? NO YES	ment (front and back of checks;	
Did you sign a them.)	ny papers or docur	ments? NO 🗀 YES	S [(If Yes, please attach copies of	

How did you first learn about this investment?
Have you complained to the Company or Firm? NO \(\subseteq \text{YES} \subseteq \text{(If yes, to whom?)} \)
What was the response?
May we send a copy of your complaint to the firm or individual complained against? YES \(\subseteq \text{NO} \subseteq \)
Does an attorney represent you in this matter? NO \(\subseteq \text{YES} \subseteq
f YES, give Attorney's Name and Address: Name:
City:State:Zip Code:
Did you begin any legal action against this company? NO YES Explain
Are you willing to sign an affidavit or testify regarding your transaction with this Company? NO YES
Specify other governmental or regulatory agencies contacted:
May we send a copy of your complaint to another governmental agency or regulatory body for review or investigation? NO YES
Did you tape-record any of your conversations regarding the transaction(s)? NO TYES
Names, telephone number and/or addresses of any other known investors:

Please explain the entire circumstances surrounding your complaint in the space provided below. It is important to include all details about the transaction, no matter how unimportant you may think they are. Please be specific in referring to any names, dates or documents. Also, if any part of the transaction occurred outside of Louisiana, please indicate that fact. Remember that it is better to include too much information, rather than
too little information. Be sure to describe the type of investment and any instruments you received evidencing your investment. (If additional space is needed, attach more pages.)
Recovery of Losses
Because the focus of an Office of Financial Institutions (OFI) securities investigation is regulatory in nature, and is designed to determine compliance with Louisiana's securities laws and regulation, you are encouraged to consider other means if you are seeking to recover money or securities. It is very important for you to understand that OFI staff is investigating your complaint from a regulatory perspective and with the protection of all investors in mind.
There can be no assurances that any action taken by OFI will result in a payment or return of funds or securities to you even where formal enforcement actions are taken and sanctions imposed. Relying on the outcome of OFI's investigation may close other avenues of redress if you wait too long to proceed.
OFI staff cannot provide legal advice to you in connection with your complaint. Therefore, you may want to consult with an attorney if you are considering filing an arbitration, mediation, or private civil action.
The above is true and accurate to the best of my knowledge.
Signature: Date:
Return completed form to:

Louisiana Office of Financial Institutions Securities Division 8660 United Plaza Blvd., 2nd Floor Baton Rouge, LA 70809-7024